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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/734,432	12/12/2003	Eric Thwaites	10281.400-US	3883
25908 7590 02/22/2008 NOVOZYMES NORTH AMERICA, INC. 500 FIFTH AVENUE SUITE 1600 NEW YORK, NY 10110				
EXAMINER				
SCHUBERG, LAURA J				
ART UNIT		PAPER NUMBER		
1657				
MAIL DATE		DELIVERY MODE		
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

**Application No.**

10/734,432

**Applicant(s)**

THWAITES, ERIC

**Examiner**

Laura Schuberg

**Art Unit**

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 21 November 2007.  
2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 18-36 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 18-36 is/are rejected.  
7) ☒ Claim(s) 30 is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.  
10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☒ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☒ Certified copies of the priority documents have been received in Application No. 10/463,939.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☒ Information Disclosure Statement(s) (PTO/5508)  
Paper No(s)/Mail Date 11/16/07  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_  
5) ☐ Notice of Informal Patent Application  
6) ☐ Other: \_\_\_\_\_

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 11/21/2007 has been entered.

Applicant is requested to note that the Examiner for this application has changed. Future correspondence should be directed to Laura Schuberg, Art Unit 1657, whose contact information can be found below.

Claims 1-17 have been canceled. New claims 18-36 are pending and have been examined on the merits.

### ***Information Disclosure Statement***

Applicant has submitted a proper 1449 on 11/16/2007 which has been considered by the Examiner. Additional references listed for consideration under the title of "Additional Information" on the information disclosure statement have not been considered.

This information disclosure statement, also filed 11/16/2007, fails to comply with 37 CFR 1.98(a)(1), which requires the following: (1) a list of all patents, publications, applications, or other information submitted for consideration by the Office; (2) U.S.

patents and U.S. patent application publications listed in a section separately from citations of other documents; (3) the application number of the application in which the information disclosure statement is being submitted on each page of the list; (4) a column that provides a blank space next to each document to be considered, for the examiner's initials; and (5) a heading that clearly indicates that the list is an information disclosure statement. The information disclosure statement has been placed in the application file, but the information referred to therein has not been considered.

### ***Response to Arguments***

Applicant's arguments filed 11/16/2007 with respect to claims 1, 4-8 and 12-16 have been fully considered but are moot in view of the new ground(s) of rejection below. The arguments have been addressed in so far as they relate to the new grounds of rejections. Rejections and/or objections not reiterated from previous office actions are hereby withdrawn. The following rejections and/or objections are either reiterated or newly applied. They constitute the complete set presently being applied to the instant application.

Applicant argues that because Weigel et al teach the use of trichloroacetic acid, that the reference teaches away from Applicant's claimed process because those of ordinary skill in the art would know that this acid would result in the fermentation broth becoming very acidic.

This is not found persuasive because Weigel et al suggest the use of trichloroacetic acid as a flocculation agent to assist in the separation of hyaluronic acid from the fermentation broth. Weigel et al do not teach the trichloroacetic acid for the purpose of adjusting the pH nor do they teach the necessity of a specific pH. It is well known in the art, as taught by Laustsen et al (US 2002/0020668), that if a pH adjustment is necessary any acid or base may be used in the fermentation broth and that the optimal pH is normally a compromise between the pH at which the fermentation-derived product of interest is most stable and the pH at which the solubility of the fermentation-derived product of interest is greatest (page 3 para 48). Therefore, the teaching of Weigel et al does not teach away from a higher pH merely because the suggested flocculation agent happens to be an acid given that one of ordinary skill in the art would be knowledgeable in the ways of pH adjustment and optimization of a fermentation broth as taught by Laustsen et al.

#### ***Priority***

Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119(a)-(d). The certified copy has been filed in parent Application No. 10/463,939, filed on 06/18/2003.

#### ***Claim Objections***

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Claim 30 is objected to because of the following informalities: The phrase "diluting the fermentation broth is diluted with water" is grammatically incorrect. Appropriate correction is required.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claim 36 is rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claim 36 recites the limitation "after step (e)" in line 2. There is insufficient antecedent basis for this limitation in the claim because the method of claim 18 upon which it depends does not have a step (e).

For examination purposes, claim 36 is interpreted as occurring after step (d).

Appropriate correction is required.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

The factual inquiries set forth in *Graham v. John Deere Co.*, 383 U.S. 1, 148 USPQ 459 (1966), that are applied for establishing a background for determining obviousness under 35 U.S.C. 103(a) are summarized as follows:

1. Determining the scope and contents of the prior art.
2. Ascertaining the differences between the prior art and the claims at issue.
3. Resolving the level of ordinary skill in the pertinent art.
4. Considering objective evidence present in the application indicating obviousness or nonobviousness.

Claims 18-36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Weigel et al (WO 99/23227) in view of Kanani et al (US 3,878,093) and Laustsen et al (US 2002/0020668).

Claim 18 is drawn to a method of producing a glycosaminoglycans, comprising a) fermenting a *Bacillus* cell to produce a fermentation broth comprising a glycosaminoglycans; b) adding a divalent salt to the fermentation broth in order to flocculate the *Bacillus* cell and adjusting the pH of the broth to between 7.5 and 8.5; c) after step b, removing the *Bacillus* cell and/or high molecular weight contaminants; and d) after step c, recovering the glycosaminoglycan.

Dependent claims include wherein the glycosaminoglycan is hyaluronic acid (claim 19), the molecular weight of the glycosaminoglycan (claim 20), wherein the divalent salt is a calcium salt and/or a magnesium salt (claim 21), wherein the divalent salt is calcium chloride (claim 22), the concentration of the divalent salt (claims 23-25), removal of the *Bacillus* cell by filtration (claim 26), timing of the adjusting the pH (claims 27-29), diluting the fermentation broth with water (claims 30-32), heating the fermentation broth (claim 33), adding one or more other flocculating agents to the broth

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(claim 34), adding activated carbon to the broth (claim 35) and purifying the glycosaminoglycan after step d (claim 36).

Weigel et al teach a method of fermenting a microorganism. This microorganism is capable of producing a glycosaminoglycan and secreting it into its medium. In particular it is advantageous, after the glycosaminoglycan has been produced, to sequester the microorganism from its fermentation broth, by a method of flocculating the microorganism (see p. 63, lines 6-23, for example). In particular the microorganism that produces the glycosaminoglycan can be either a eukaryote or a prokaryote (see p. 58, line 27 to p. 59, line 8, for example; see p. 59, line 18 to p. 60, line 8, for example). In particular, the use of *Bacillus subtilis* is a preferred embodiment of a cultured organism for producing the glycosaminoglycan hyaluronic acid (see p. 59, lines 9-17, for example). These hyaluronic acid molecules span a range of sizes, but fall within the range recited in the instant claim 5 (see p. 79, lines 11-23, for example; see Fig. 9, for example). Filtering and purifying the hyaluronic acid is also taught (page 59, lines 10-26).

Weigel et al do not expressly teach addition of a divalent salt as a flocculating agent.

Weigel et al do not expressly teach adjusting the fermentation broth pH.

Weigel et al do not expressly teach heating the fermentation broth to between 30 and 60 °C.

Weigel et al do not expressly teach diluting the fermentation broth or adding activated charcoal to the fermentation broth.

Capiou et al teach a method of extracting a cell-bound protein of bacterial origin, useful in acellular vaccines, comprising contacting a suspension of the cell-bound protein with a flocculating agent prior to heat treatment (abstract). The combination of a flocculating agent and the heat treatment enhances the yield of protein released from the cells after a single extraction step and also obviates the requirement for subsequent centrifugation to remove cellular debris (column 2 lines 23-28). An additional advantage is the elimination of most of the high molecular weight endotoxins which are present in the broth after fermentation (column 2 lines 28-33). A wide range of flocculating agents well known in the art may be employed in the process to improve the handling qualities of the cell suspension following heat treatment. Preferred flocculating agents are materials embodying divalent cations such as calcium chloride (column 3 lines 17-25). The flocculating agent is suitably brought into contact with a suspension of cells under controlled-pH conditions and the liquid volume is adjusted by addition of appropriate buffer (column 3 lines 26-29). The optimum pH for any chosen flocculating agent may be selected by routine experimentation and the pH of the supernatant is suitably adjusted to between 4 and 10, preferably between pH 8.5 and 9.5, either before or after addition of an aqueous solution of a calcium salt (column 4 lines 37-45). The slurry of flocculated cells is subjected to a heat treatment of approximately 60 degrees C (column 4 lines 64-65).

Laustsen et al teach a microfiltration process of a fermentation-derived product comprising adding activated carbon to a solution of the product prior to or during the microfiltration process at a temperature from 25 degrees C to 65 degrees C (abstract).

The activated carbon and elevated temperature increase process capacity when microfiltering a fermentation-derived product (page 1 para 9). The method may be applied to an untreated fermentation broth or to a fermentation broth that has first been subjected to a pH adjustment, a temperature adjustment, a water dilution and flocculation (page 3 para 43). The optimal pH is normally a compromise between the pH at which the fermentation-derived product of interest is most stable and the pH at which the solubility of the fermentation-derived product is greatest (page 3 para 48). The microfiltration process is further improved if in addition to the carbon treatments a Ca-product is added prior to or during the microfiltration process. Any soluble Ca compound or any mixture thereof may be used, in particular calcium chloride (page 3 para 52-53). Dilution with 100% water is also taught as desirable (page 4 para 71). Preferred bacteria include *Bacillus* (page 2 para 37).

A person of ordinary skill in the art at the time the invention was made would have been motivated to add divalent salt (such as calcium chloride), change the pH of the fermentation broth, add activated carbon, dilute the fermentation broth and heat the fermentation broth in the method of Weigel et al because Capiou et al and Laustsen et al teach that there are advantages to adding these techniques that allow for the easy purification of fermentation-derived products (such as hyaluronic acid). A person of ordinary skill in the art would have been motivated to optimize result effective parameters (such as the pH, temperature, timing of addition of flocculating agents and pH controlling agents, amount of flocculating agents and dilution of the fermentation broth) in order to enhance the purity of the desired product as well as the ease of

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collection. A person of ordinary skill in the art would have had a reasonable expectation of success because Weigel et al, Capiou et al and Laustsen et al are all drawn to enhancing the production of purified fermentation-derived products.

Hence, it would have been *prima facie* obvious to one of ordinary skill in the art at the time the invention was made to employ the flocculation and filtering methods of Capiou et al and/or Laustsen et al, as well as optimizing the result effective parameters (such as pH, temperatures and amounts) in a method of producing and purifying hyaluronic acid taught by Weigel et al.

### ***Conclusion***

No claims are allowed.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to LAURA SCHUBERG whose telephone number is (571)272-3347. The examiner can normally be reached on Mon-Fri 8:00-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jon Weber can be reached on 571-272-0925. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Leon B Lankford Jr/  
Primary Examiner, Art Unit 1651